



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/019,883
Filing Date	December 27, 2001
First Named Inventor	Baosheng Yuan
Art Unit	Unassigned
Examiner Name	Not yet Assigned
Total Number of Pages in This Submission	25
Attorney Docket Number	42390P9270

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input checked="" type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div>Check in the amount of \$1720 Return Postcard</div>		
<table><tr><td>Remarks</td><td>Statement of Facts Petition to File on Behalf of Non-signing Inventor Exhibits A-F</td></tr></table>			Remarks	Statement of Facts Petition to File on Behalf of Non-signing Inventor Exhibits A-F
Remarks	Statement of Facts Petition to File on Behalf of Non-signing Inventor Exhibits A-F			

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Mark C. Van Ness, Reg. No. 39,865 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	September 22, 2006

## CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Kristin A. Morrow		
Signature		Date	September 22, 2006



# FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 1,720.00

## Complete if Known

Application Number	10/019,883
Filing Date	December 27, 2001
First Named Inventor	Baosheng Yuan
Examiner Name	Not yet Assigned
Art Unit	Unassigned
Attorney Docket No.	42390P9270

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_  
☒ Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayment of fee(s) ☒ Credit any overpayments  
under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

## FEE CALCULATION

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	130.00
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1251	120	2251	60	Extension for reply within first month	
1252	450	2252	225	Extension for reply within second month	
1253	1,020	2253	510	Extension for reply within third month	
1254	1,590	2254	795	Extension for reply within fourth month	1,590.00
1255	2,160	2255	1,080	Extension for reply within fifth month	
1401	500	2401	250	Notice of Appeal	
1402	500	2402	250	Filing a brief in support of an appeal	
1403	1,000	2403	500	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

SUBTOTAL (2) (\$) 1,720.00

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Mark C. Van Ness	Registration No. (Attorney/Agent)	39,865	Telephone	(503) 439-8778
Signature		Date	09/22/06		

Based on PTO/SB/17 (12-04) as modified by Blakely, Sokoloff, Taylor & Zafman (wlr) 12/15/2004.  
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

10/04/2006 GFREY1 00000136 10019883

01 FC:1617

130.00 OP



SEP 26 2006

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	10/019,883	FIRST NAMED APPLICANT	Qing Guo	ATTY. DOCKET NO.	42390.P9270
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Mr John P Ward  
Blakely Sokoloff Taylor & Zafman  
12400 Wilshire Boulevard  
7th Floor  
Los Angeles, CA 90025-1030

RECEIVED

APR 17 2006

BEAVERTON

RECEIVED

APR 13 2006

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
LOS ANGELES

INTERNATIONAL APPLICATION NO.

PCT/CN00/00296

I.A. FILING DATE

PRIORITY DATE

09/30/2000

CONFIRMATION NO. 8062

371 FORMALITIES LETTER



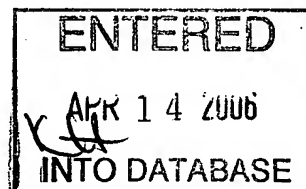
\*OC000000018492980\*

Date Mailed: 04/10/2006

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 12/27/2001
- Copy of the International Search Report filed on 12/27/2001
- U.S. Basic National Fees filed on 12/27/2001



The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Surcharge.

ENTERED

APR 13 2006

STATUS DB-LA

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHARITTA A BURT

Telephone: (703) 308-9140 EXT 207

PART 2 - OFFICE COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/019,883	PCT/CN00/00296	42390.P9270

FORM PCT/DO/EO/905 (371 Formalities Notice)



Attorney's Docket No 42P9270

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of:

Yuan et, al.

Application No.: 10/019,883

Filed: 12/27/2001

For: Method and System for Generating and  
Searching an Optimal Maximum Likelihood Decision  
Tree for Hidden Markov Model (HMM) Based.....

) Examiner: Not Assigned

) Art Unit: Not Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice to File Missing Parts mailed April 10, 2006,  
please find enclosed:

- a duly executed Declaration and Power of Attorney with payment in the amount of \$130.00 for the surcharge of 37 CFR § 1.16 (e);
- a Petition to File on Behalf of a Non-signing Inventor pursuant to 37 CFR 1.47 (a).
- a Petition for Extension of Time and payment in the amount of \$1590.00
- a Copy of the Notice to File Missing Parts of Application

If any additional fee is required, please charge Deposit Account No. 02-2666.

An extra copy of the Fee Transmittal is enclosed for deposit account charging purposes.

If any fee is required, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: Sept 22, 2006



Mark C. Van Ness (Reg No.: 39.865)

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025  
(408) 720-8300

I hereby certify that this correspondence is being deposited  
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9-22-06

Date of Deposit

Kristin A. Morrow

Name of Person Mailing Correspondence

Kristin A. Morrow

Signature

9-22-06

Date



10/019,883

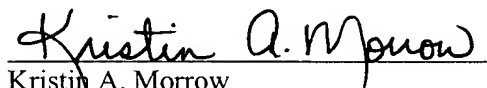
Yuan, et al.

STATEMENT OF FACTS

by Kristin A. Morrow

1. I am the assistant for Gregory D. Caldwell who is the attorney responsible for prosecuting the above identified patent application with the United States Patent and Trademark Office (USPTO).
2. We have attempted to locate inventor Qing Guo for the purpose of obtaining the inventor's signature on the Oath and Declaration, but, after diligent effort have been unable to locate Qing Guo.
3. On April 19, 2006, an Oath and Declaration and Assignment was sent via e-mail to Qing Guo for the purposes of responding to the outstanding Notice of Missing Parts for the present application. A copy of the e-mail is provided as Exhibit A.
4. On May 30, June 8, June 21, and July 18, 2006 e-mails were also sent to Qing Guo with no response. Copies of those e-mails are provided as Exhibit B.
5. On July 19, 2006 we sent a letter and the Oath and Declaration and Assignment via Registered Mail (RA 943943341 US) which included: 1) instructions for Qing Guo to execute the Oath and Declaration and instructions on returning the signed documents via fax as well as mailing the originals via US Mail. A copy of the letter and instructions has been included as Exhibit C.
6. Registered Mail was returned to us from China unclaimed on September 11, 2006. Registered Mail Receipt and unsigned Claim receipt are included as Exhibit D.
7. On September 5, 2006, I sent a letter with instructions, Oath and Declaration and Assignment to Qing Guo via DHL (Waybill 8911034915) with a self addressed stamped envelope. As of September 12, 2006, there has been no response. Letter and DHL waybill are included as Exhibit E.
8. On September 15, 2006, I received a confirmation e-mail from Intel Corporation with clarification that inventor Qing Guo was termed from Intel and no longer an employee with his last known address being the one we already have on record. E-mail from Intel is included as Exhibit F.

Dated: 9-22, 2006

  
Kristin A. Morrow  
Assistant to Gregory D. Caldwell



**FIRST CLASS CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to MAIL STOP MISSING PARTS, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 22, 2006

Kristin A. Morrow

Name of Person Mailing Correspondence

Kristin A. Morrow

Signature

9-22-06

Date